



Transportation
Security
Administration

OFFICE OF INFORMATION TECHNOLOGY
INFORMATION MANAGEMENT PROGRAMS SECTION

TSA MANAGEMENT DIRECTIVE No. 200.2
FORMS MANAGEMENT PROGRAM

To enhance mission performance, TSA is committed to promoting a culture founded on its values of Integrity, Innovation, and Team Spirit.

REVISION: This revised directive supersedes TSA MD 200.2, *TSA Forms Management*, dated March 2, 2006.

SUMMARY OF CHANGES: The title is revised to reflect an agency-wide program, as also noted in Section 1, Purpose; References to the Office of Information Management Programs (OIMP) has been changed to the Information Management Programs Section (IMPS); Section 4, Definitions, added and clarified definitions; Section 5, Responsibilities, added Business Management Office (BMO) and management officials responsibilities; Section 6, Policy, added forms are developed in electronic format and clarified policies; and Section 7, Procedures, added and clarified procedures.

1. **PURPOSE:** This directive provides TSA policy and procedures for an agency-wide *Forms Management* Program.
2. **SCOPE:** This directive applies to all TSA organizational elements.
3. **AUTHORITIES:**
 - A. Aviation and Transportation Security Act, PL 107-71
 - B. [DHS Directive 141-02, *Forms Management*](#)
 - C. [DHS Directive 4010.2, *Section 508 Program Management Office and Electronic and Information Technology Accessibility*](#)
 - D. Government Paperwork Elimination Act, PL 105-277
 - E. Homeland Security Act, PL 107-296
 - F. Information Quality Act, PL 106-554
 - G. Information Technology Management Reform Act (Clinger-Cohen Act), 40 USC §§ 1401-1503
 - H. Paperwork Reduction Act, PL 104-13
 - I. Privacy Act, 5 USC § 552a, as amended
 - J. Rehabilitation Act, Section 508, 29 USC § 794(d), as amended

- K. [TSA MD 100.3, Business Management Office Roles and Responsibilities](#)
- L. [TSA MD 200.1, Directives Management Program](#)

4. DEFINITIONS:

- A. Approving Official: A senior management official designated by the head of TSA, or his/her designee, with authority to approve actions for a TSA Headquarters (HQ) Office; i.e., Assistant Administrators or equivalents, or their designees.
- B. Controlled Form: An approved TSA Form managed by the issuing Office where the respective Office independently controls user access and distribution to targeted users during designated periods or for limited purposes.
- C. DHS Form: A form used by two or more DHS organizational elements, including the Departmental Offices, and required by a Departmental directive or other written instructions.
- D. Edition Date: The month and year the form is initially approved, or subsequently revised.
- E. Field: Non-Headquarters elements. (see Section 4G, Headquarters).
- F. Form: Any document (paper or electronic) that contains blank spaces to be filled with specific information. A form may be any type of document, including contracts, certificates, labels, memos, letters, envelopes, etc.
- G. Forms Approval Process: The process whereby forms are formally submitted, reviewed, vetted, cleared, approved, and posted, as appropriate, consistent with a standardized and controlled management review.
- H. Form Number: The numeric or alpha-numeric value assigned to a form that identifies its functional area collection and uses.
- I. Headquarters: Offices and buildings located in Arlington, Virginia or in the Washington, D.C. metropolitan area, excluding the D.C. metropolitan airports and airport support facilities maintained or occupied by TSA.
- J. Information Management Programs Section (IMPS): TSA office within the Office of Information Technology (OIT) with responsibility for the oversight and management of agency directives, forms and records management programs.
- K. Management Directive Point-of-Contact (MD POC): An individual appointed to serve as a program office's contact for directives and forms management activities.
- L. Management Officials: Any TSA employee who is a higher-level official in the employee's chain of supervision such as a supervisor or manager (e.g., Office Director (OD) or equivalent,

Assistant Administrator (AA), Federal Security Director (FSD), Supervisory Air Marshal in-Charge (SAC), etc.).

- M. Office: A major TSA organizational element headed by an Assistant Administrator or equivalent with delegated authority, assigned scope, and responsibility for the element and all subordinate elements assigned therein.
- N. Office Form: A form processed and approved via the Forms Management Program for limited internal Office use involving collection and completion only from within the proponent or issuing Office and its subordinate programs and denoted by its designated “Office form” number.
- O. Optional Form (OF): A form developed by a Federal agency for use in two or more agencies and approved by the GSA for non-mandatory Government-wide use.
- P. Program Form: A form processed and approved via the Forms Management Program for limited internal program use involving collection and completion only from within the proponent or issuing sub-Office program and denoted by its designated “program form” number.
- Q. Program Office: A subordinate element of a HQ Office.
- R. Revision Date: The two-year anniversary of the edition date when an existing form is due to be reviewed, and then revised, recertified, or cancelled.
- S. Standard Form (SF): A form prescribed by a Federal agency, pursuant to its authority, and approved by General Services Administration (GSA) for mandatory Government-wide use.
- T. TSA Form: A form processed and approved via the Forms Management Program for appropriate agency-wide use involving collection and completion across two or more Offices and/or involving external contacts and denoted by its designated “TSA Form” number.

5. RESPONSIBILITIES:

- A. Office of Information Technology (OIT) is responsible for:
 - (1) Providing Forms Management Program oversight and governance through IMPS.
 - (2) Appointing the TSA Forms Management Officer.
 - (3) Providing consultation services regarding information law and privacy.
 - (4) Reviewing forms to ensure technical applications are in compliance with Section 508 of the Rehabilitation Act.
- B. IMPS is responsible for:

- (1) Managing the TSA Forms Management Program, including developing and revising forms management policy and procedures, and providing leadership on and involving internal and external bodies and professional contacts.
- (2) Providing training, assistance and technical guidance to MD POCs/ program offices regarding the creation, design and management of agency forms.
- (3) Assigning TSA Form numbers, edition dates, revision dates, and modifying/approving TSA Form titles and formats.
- (4) Coordinating forms with technical offices where appropriate.
- (5) Managing the TSA Intranet's Forms page content and postings.
- (6) Determining appropriateness and application of agency forms and vetting forms for clearance and/or approval, to include reviewing and editing drafts for clarity and consistency, in coordination with respective MD POCs.
- (7) Monitoring program offices' review and recertification of forms.
- (8) Publishing new and revised forms onto the Forms Management Program iShare page.
- (9) Maintaining historical files and logs on TSA Forms.
- (10) Serving as the DHS liaison on the Forms Management Council.

C. Approving Officials/Program Offices are responsible for:

- (1) Designating an MD POC(s) using [TSA Form 225, MD POC Appointment](#).
- (2) Ensuring the appropriate and timely review and coordination of, and updates to, forms impacting their Office.
- (3) Supporting the role of MD POCs to ensure compliance with related directives, policies and procedures.

D. Business Management Office (BMO) Directors are responsible for:

- (1) Managing and interacting with appropriate BMO staff, Office contacts, and other TSA personnel necessary to support forms management policy, procedures, requirements and standards consistent with TSA MD 100.3.
- (2) Ensuring qualified MD POCs are appointed and are trained to ensure timely and effective forms management support and oversight.

E. Management Officials are responsible for:

- (1) Consulting and coordinating with Office MD POCs prior to and during the forms management process.
- (2) Identifying the needs and technical content of their proposed forms, and documenting their clearance submissions using [TSA Form 222, Form Submission Checklist](#).
- (3) Ensuring approval for the use and dissemination of forms in advance of use and taking immediate corrective actions as appropriate.
- (4) Supporting the role of MD POCs to ensure Program Office-wide compliance with related directives, policies and procedures.

F. Office of Chief Council (OCC) is responsible for reviewing forms to ensure compliance with applicable statutes, regulations and policies.

G. MD POCs are responsible for:

- (1) Notifying IMPS of their appointment as MD POCs by forwarding the completed TSA Form 225 to IMPS, and notifying IMPS of any changes in their appointment status.
- (2) Completing forms training and complying with applicable directives.
- (3) Providing IMPS with a draft copy of the form for review and approval, and a completed TSA Form 222.
- (4) Communicating MD POC roles and responsibilities to their respective Office staff.
- (5) Publishing forms notices via TSA Broadcasts or other appropriate medium.
- (6) Processing forms requests, including revisions or cancellations, in compliance with prescribed methods, standards and procedures.
- (7) Notifying IMPS when forms revisions or cancellations are necessary based on organizational or policy changes.

6. POLICY: The Forms Management program provides an efficient and cost effective method of collecting information, and providing overall management for forms by identifying IMPS as the focal point for the review, revision/modification, approval and publication of TSA forms.

- A. Development of agency forms is created in electronic “fillable” format to ensure they are 508 compliant.
- B. All agency forms shall comply with the forms management process requirements, including proper documentation using a TSA Form 222.

- C. DHS Forms, SFs, and OFs that serve a similar purpose as the proposed form shall be used if available. Exceptions requests must be provided using a TSA Form 222.
 - D. Form content shall demonstrate adherence to legal and statutory authorities to include, but not limited to the Privacy Act, Paperwork Reduction Act, Section 508 of the Rehabilitation Act, and applicable security handling requirements.
 - E. Each form shall have a supporting directive, regulation, or statute governing its purpose and use.
 - F. TSA Forms shall be reviewed and recertified, revised, or cancelled, as appropriate within 90 days of the 2-year anniversary date of their edition date.
 - G. Offices shall adhere to the formats and standards established for agency forms.
 - H. Field elements shall coordinate proposed forms through their appropriate HQ Office MD POC(s).
 - I. Only IMPS-approved forms which have been reviewed and cleared through the forms approval process are approved for official TSA use.
 - J. Forms shall not be approved with references to unapproved directives.
 - K. Titling and issuance of TSA Forms shall be limited to the program oversight and controls of IMPS. Office forms and program forms shall be managed locally pursuant to authorized delegations and exceptions issued by IMPS consistent with the Forms Management Program policies and procedures.
 - L. Neither Office forms nor program forms shall be published on the TSA Forms Management Program page, but may be posted by the Office or program office on their respective Functional Areas page(s).
- 7. PROCEDURES:** Reference applicable guides, manuals, standard operating instructions and procedures, and other process directions which are available on the [Forms Management Program](#) page.
- A. Review the processing requirements and estimated timelines for forms processing.
 - B. Prepare draft and final forms using approved templates.
 - C. Submit required documentation via designated MD POCs in a timely and complete manner for review, processing, approval, and dissemination, as appropriate.
 - D. Ensure appropriate logs are maintained to ensure effective internal controls.

8. **EFFECTIVE DATE AND IMPLEMENTATION:** This policy is approved effective the date of signature unless otherwise specified.

APPROVAL

Signed

January 8, 2016

Stephen W. Rice
Assistant Administrator for Information
Technology/Chief Information Officer

Date

EFFECTIVE

Date

Distribution: Assistant Administrators and equivalents, Federal Security Directors,
Business Management Offices, and Administrative Officers
Point-of-Contact: IMPS INFOMGTPROGS@tsa.dhs.gov

Appendix

Recommended MD POC Appointment Criteria

To help ensure that appointees possess the core competencies and qualifications deemed important to successfully perform forms management duties, the following knowledge, skills and abilities are recommended for consideration in identifying and selecting MD POCs, as well as for evaluating their performance in the collateral duty capacity.

- Skill in use of TSA hardware and software systems, tools and select features (e.g., *Adobe Acrobat, Word, and Excel*) sufficient to draft, edit and finalize documents and forms.
- Ability to effectively review and edit document spelling, content, grammar and punctuation.
- Ability to effectively communicate orally and in writing and to convey administrative and technical information to program officials.
- Ability to conduct basic research sufficient to identify missing information, misinformation and inconsistencies and to follow up as needed.
- Ability to manage and mediate competing interests and issues under tight time constraints while maintaining reasonable quality controls and meeting objectives.
- Knowledge of TSA and office organizations, alignments, functionality and administrative and operational issues.